

# **EXHIBIT 5**

**JOSEPH F. MASTRIANNI**

CRD# 1131254

**Currently employed by and registered with the following FINRA Firms:****MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**ONE BRYANT PARK  
NEW YORK, NY 10036  
CRD# 7691

Registered with this firm since: 7/26/2005

**MERRILL LYNCH PROFESSIONAL CLEARING  
CORP.**222 BROADWAY - 6TH FLOOR  
NY3-222-06-17  
NEW YORK, NY 10038  
CRD# 16139

Registered with this firm since: 7/27/2005

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**Report Summary for this Broker**

The report summary provides an overview of the broker's professional background and conduct. The individual broker, a FINRA-registered firm(s), and/or securities regulator(s) have provided the information contained in this report as part of the securities industry's registration and licensing process. The information contained in this report was last updated by the broker, a previous employing brokerage firm, or a securities regulator on 06/11/2010.

**Broker Qualifications****This broker is registered with:**

- 8 [Self-Regulatory Organizations](#)
- 0 U.S. states and territories

Is this broker currently suspended or inactive with any regulator? **No**

**This broker has passed:**

- 3 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 0 State Securities Law Exams

**Registration and Employment History**

This broker was previously registered with the following FINRA member firms:

**ADP CLEARING & OUTSOURCING SERVICES,  
INC.**CRD# 13071  
LAKE SUCCESS, NY  
10/2003 - 07/2005

For additional registration and employment history details as reported by the individual broker, refer to the Registration and Employment History section of this report.

**Disclosure of Customer Disputes,  
Disciplinary, and Regulatory Events**

This section includes details regarding disclosure events reported by or about this broker to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events include formal investigations and disciplinary actions initiated by regulators, customer disputes, certain criminal charges and/or convictions, as well as financial disclosures, such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this broker? **No**